

**IMPORTANT:** Read instructions on back of last page (Certification Page) before completing this form. Failure to comply with instructions may cause disapproval of proposed Regulations

State of Connecticut  
**REGULATION**  
of

NAME OF AGENCY

Office of State Ethics

Concerning

SUBJECT MATTER OF REGULATION

Amendments to Ethics Regulations

**Section 1. Section 1-92-40 of the Regulations of Connecticut State Agencies is amended to read as follows:**

Pursuant to Subsection 1-84b(d) of the Connecticut General Statutes, after consultation with the agencies concerned, the positions listed below, which involve significant decision making or supervisory responsibility regarding the regulation or investigation of: (a) any business entity engaged in Indian gaming operations in the state; or (b) a governmental agency of an Indian tribe engaged in Indian gaming operations in the state, are designated as ones subject to the restrictions of subsection 1-84b(e) of the Connecticut General Statutes:

**[Gaming Policy Board and the Division of Special Revenue**

Executive Director

Deputy Executive Director

Unit Chief, GRU

Assistant Unit Chief, GRU (Casino)

Unit Chief, Security

Chief Financial Examiner

Supervising Accounts Examiner (Casino)

Senior Gambling Regulation Facility Supervisor (Casino)

Licensing Coordinator

Assistant Unit Chief, Planning and Research (Hearings)

Casino Review Committee Members]

**Department of Consumer Protection, Gaming Division and Gaming Policy Board**

Members of the Gaming Policy Board

Consumer Protection Director of Gaming

Consumer Protection Manager of Gaming Regulation

Consumer Protection Manager of Gaming Enforcement and Assurance

Consumer Protection Manager of Information Technology, Accounting and Gaming Auditing

Special Revenue Assistant Unit Head (TS)

Special Revenue Assistant Unit Head (Hearings)

Special Revenue Assistant Unit Head (Gambling Regulation)

Special Revenue Gambling Regulation Supervisor (Casino)

Supervising Accounts Examiner (Casino)

Accounting Manager

License and Applications Supervisor (Casino)

Application Review Committee Members

**[The Department of Public Safety] The Department of Emergency Services and Public Protection**

Commissioner

Deputy Commissioner of State Police

[Colonel]

Lieutenant Colonel[s or his/her acting designees] For Office of Field Operations

Commanding Officer, Eastern District Headquarters

Executive Officer, Eastern District Headquarters

Commanding Officer, B.C.I.

Commanding Officer, S.O.C.I.T.F.

Commanding Officer, Casino Unit

Sergeants assigned to Casino Unit or S.O.C.I.T.F.

**Sec. 2. Section 1-92-40a of the Regulations of Connecticut State Agencies is amended to read as follows:**

After consultation with the agencies concerned, the positions listed below, which involve significant decision-making or supervisory responsibility, are designated as ones subject to the provisions of subsection (c) of section 1-84b of the Connecticut General Statutes. Exempt from the provisions of subsection (c) of section 1-84b of the Connecticut General Statutes are members or former members of a listed board, commission, or council who serve or served ex officio, who are or were required by statute to represent the regulated industry, or who are or were permitted by statute to have a present or past affiliation with the regulated industry.

**[Office of Health Care Access] Department of Public Health, Office of Health Care Access Division**

[Commissioner]

Deputy Commissioner of Public Health designated to oversee the Office of Health Care Access Division

**[The Department of Public Safety] The Department of Emergency Services and Public Protection**

Commissioner

Deputy Commissioner of State Police

[Colonel]

Deputy Commissioner of Emergency Management and Homeland Security

Director, Office of Statewide Emergency Telecommunications

Director, Division of Scientific Services

Administrator, Police Officer Standards and Training Council

State Fire Administrator, Commission on Fire Prevention and Control

Lieutenant Colonel[s or his/her acting designees]

[Commanding Officer, B.C.I.

Commanding Officer, S.O.C.I.T.F.

Commanding Officer, Casino Unit

Sergeants assigned to Casino Unit or S.O.C.I.T.F.]

Fiscal Administrative Manager 2

Human Resources Administrator 2

Legislative and Administrative Manager

State Police Major

**Connecticut Siting Council**

Members appointed as designee by the Speaker of the House or the President Pro Tempore of the Senate or appointed by the Governor from the public, including ad hoc and substitute members  
Executive Director

**Banking Department**

Banking Commissioner  
Deputy Banking Commissioner  
[Director of Bank Examination Division]  
Director of Financial Institutions  
Director of Securities & Business Investments Division  
{Director of Credit Union Division}  
Director of Consumer Credit Division  
Director of Government Relations and Consumer Affairs  
[Director of Legislation, Regulations and Communications]  
Banking Supervising Administrative Attorney  
Fiscal Administrative Manager 1

**Insurance Department**

Commissioner  
Deputy Commissioner  
Director of Consumer Services  
Director of Property & Casualty Division  
Director of Life & Health Division  
Director of Legal Division  
Director of Financial Regulation  
Financial Regulation Program Managers  
Chief Actuary  
Licensing Program Manager  
Consumer Affairs Program Manager  
Market Conduct Program Manager  
Fraud Program Manager  
Legislative Program Manager  
Life and Health Program Manager  
Life and Health Actuary  
Property and Casualty Program Manager  
Property and Casualty Actuary  
Legislative and Administrative Manager  
Chief of Staff

**Department of Consumer Protection, Liquor Control Division**

Chairman  
Commissioners  
Director  
[Administrator]

**[Department of Public Utility Control] Public Utilities Regulatory Authority**

Chairperson

Vice-Chairperson  
[Commissioners] Director  
[Executive Director]  
[Director of Adjudication]  
[Director of Rates]  
Director of Advocacy and Operations  
Public Utilities Chief of Utility Regulation [(3)] (2)  
[Legislative and Administrative Manager]  
[Manager of Operations and Management Analysis] Procurement Manager

**Office of Consumer Counsel**

Consumer Counsel

**[Gaming Policy Board and the Division of Special Revenue**

Members of the Gaming Policy Board  
Executive Director  
Deputy Executive Director  
Unit Chief of Integrity Assurance  
Unit Chief of Administration  
Unit Chief of Security & Licensing  
Unit Chief of Gambling Regulation  
Executive Assistant  
Chief Financial Examiner/Assistant Unit Head, Integrity Assurance  
Assistant Unit Chief of Gambling Regulation  
Fiscal Administrative Manager  
License and Applications Supervisor (Licensing)  
Application Review Committee Members]

**Department of Consumer Protection, Gaming Division and Gaming Policy Board**

Members of the Gaming Policy Board  
Consumer Protection Director of Gaming  
Consumer Protection Manager of Gaming Regulation  
Consumer Protection Manager of Gaming Enforcement and Assurance  
Consumer Protection Manager of Information Technology, Accounting and Gaming Auditing  
Special Revenue Assistant Unit Head (TS)  
Special Revenue Assistant Unit Head (Hearings)  
Special Revenue Assistant Unit Head (Gambling Regulation)  
Supervising Accounts Examiner  
Accounting Manager  
License and Applications Supervisor  
Application Review Committee Members  
Police Sergeant  
Fiscal Administrative Supervisor

**Sec. 3. Subsection (g) of section 1-92-31 of the Regulations of Connecticut State Agencies is amended to read as follows:**

(g) The board hearing shall commence upon the presentation of evidence to the board for its consideration. The board hearing shall [be concluded upon a finding of violation or lack thereof and,

if violation has occurred, the imposition of penalties as appropriate] conclude upon the completion of oral summation arguments by the parties or, if none, upon the beginning of deliberations by the board following the presentation of all evidence.

**Sec. 4. Section 1-92-47 of the Regulations of Connecticut State Agencies is amended to read as follows:**

[The fee for filing a biennial registration commencing in an odd numbered calendar year is \$250.00. The fee for a one year registration commencing in an even numbered calendar year is \$125.00. The fee must be paid for each individual registrant even if registering with a business organization or client on a single form. This fee is not in excess of the cost of administering the filing, plus the cost of collecting, filing, copying and distributing the information submitted by registrants under Section 1-96 of the Connecticut General Statutes. An estimate of these costs is available upon request at the Office of State Ethics.]

- (a) The fee for filing a biennial registration shall not be in excess of the cost per registrant of administering the filing, plus the cost of collecting, filing, copying and distributing the information submitted by registrants under Section 1-96 of the Connecticut General Statutes. The fee shall be paid for each individual registrant even if registering with a business organization or client on a single form. The registration fee for a one year registration commencing in an even numbered calendar year shall be half the fee charged for a biennial registration commencing in an odd-numbered year.
- (b) On or before September first, of even-numbered years, the Office of State Ethics shall calculate the anticipated cost to administer, file, collect, copy and distribute the information submitted by registrants over the upcoming biennium, and shall publish a statement regarding such cost. The statement shall be published on the Office of State Ethics' website and notice shall be provided to all registrants by email.
- (c) On or before October first, of even-numbered years, the Citizen's Ethics Advisory Board, at one of its regular meetings, shall establish the fee for filing a biennial registration. Prior notice of the date, time, and place of any such meeting shall be emailed to all known registrants. If the registration fee is expected to increase by 10% or more of the existing registration fee, the Citizen's Ethics Advisory Board shall either hold a public hearing or provide another opportunity for the presentation of views. The Office of State Ethics shall give all interested persons notice of the time, date, and place of any public hearing. The notice shall be published on the Office of State Ethics' website and notice shall be provided to all interested persons by email. Notice of the final registration fee shall be published on the Office of State Ethics' website and provided to all registrants by email.

## **Statement of Purpose**

*Pursuant to CGS Section 4-170(b)(3), "Each proposed regulation shall have a statement of its purpose following the final section of the regulation." Enter the statement here.*

The purpose of the proposed amendments is to revise and update the Office of State Ethics' agency regulations contained at Sections 1-92-40, 1-92-40a, 1-92-31, and 1-92-47 of the Regulations of Connecticut State Agencies to reflect the recent reorganization of certain executive branch agencies, to clarify that a board hearing concludes prior to deliberations by the Board, and to allow the Office of State Ethics to adjust the lobbyist registration fee as changes in staffing levels affect the costs of administering its lobbyist registration system.

Specifically, the amendments: (1) for purposes of certain revolving door provisions, provide an update of the positions that have significant decision-making or supervisory authority within the identified agencies (2) clarify, for purposes of compliance with freedom of information law, that a board hearing concludes prior to deliberations by the Citizen's Ethics Advisory Board and that deliberations are not be considered a part of the board hearing, and (3) bring the Office of State Ethics into compliance with the requirement that it not charge lobbyists a registration fee in excess of the cost per registrant of administering the filings by allowing the Office of State Ethics to calculate the fee on a biennium basis.